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SP  
2152  
11-21-03  
PATENT  
00987

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Art Unit: 2152

Examiner:

In re application of:

Topfl et al.

A SYSTEM AND METHOD FOR  
SERVER-BASED PREDICTIVE CASHING  
OF BACK-END SYSTEM DATA

Serial No.: 09/886,071

Filing Date: June 20, 2001

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

October 15, 2003

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Commissioner:

Applicants, in accordance with the duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the references listed on the accompanying Form PTO/SB/08 *Information Disclosure Statement by Applicant* (substitute for Form 1449A/PTO). A copy of each of the cited references is herewith enclosed.

Express Mail Number ER524414005US

Date of Deposit October 15, 2003

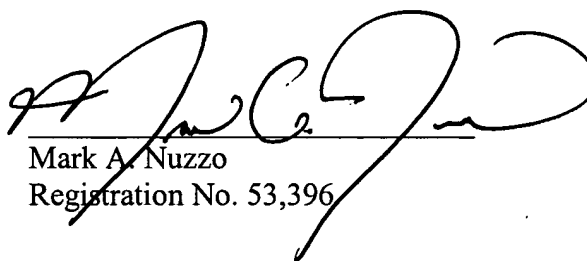
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this *Information Disclosure Statement by Applicant* "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Applicants further note that the filing of this *Information Disclosure Statement by Applicant* is not an admission that the references cited herein constitute prior art under 35 U.S.C. §§ 102-103 with respect to the captioned application.

Pursuant to 37 C.F.R. § 1.97(b)(3), Applicants submit that no fee is necessary for consideration of this *Information Disclosure Statement by Applicant*. Nevertheless, the Commissioner is hereby authorized to charge any additionally required fees deemed necessary for consideration of this *Information Disclosure Statement by Applicant* to Account No. 11-1110.

Respectfully submitted,



Mark A. Nuzzo  
Registration No. 53,396

KIRKPATRICK & LOCKHART LLP  
Henry W. Oliver Building  
535 Smithfield Street  
Pittsburgh, Pennsylvania 15222-2312

Telephone: (412) 355-6292  
Facsimile: (412) 355-6501  
e-mail: mnuzzo@kl.com



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet 1 of 2		<b>Complete if Known</b>	
		Application Number	09/886,071
		Filing Date	June 20, 2001
		First Named Inventor	Topfl
		Art Unit	2152
		Examiner Name	
		Attorney Docket Number	00987

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U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		5,369,570	11/29/1994	Parad	
		5,521,814	5/28/1996	Teran et al.	
		5,548,506	8/20/1996	Srinivasan	
		5,572,430	11/5/1996	Akasaka et al.	
		5,664,115	9/2/1997	Fraser	
		5,774,866	6/30/1998	Horwitz et al.	
		5,799,293	8/25/1998	Kaepf	
		5,826,236	10/20/1998	Narimatsu et al.	
		5,940,082	8/17/1999	Brinegar et al.	
		5,983,194	11/9/1999	Hogge et al.	
		6,115,642	9/5/2000	Brown et al.	
		6,138,104	10/24/2000	Marchak et al.	
		6,157,915	12/5/2000	Bhaskaran et al.	
		6,230,066 B1	5/8/2001	Sferro et al.	
		6,233,493 B1	5/15/2001	Chernoff et al.	
		6,249,769 B1	6/19/2001	Ruffin et al.	
		6,295,513 B1	9/25/2001	Thackston	
		6,298,319 B1	10/2/2001	Heile et al.	
		6,304,861 B1	10/16/2001	Ferguson	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet 2 of 2		<b>Complete if Known</b>	
		Application Number	09/886,071
		Filing Date	June 20, 2001
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		Attorney Docket Number	00987

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<b>NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		United States Patent Application No. 10/649,511 filed August 26, 2003. (Attorney Docket No. 030365)	
		United States Patent Application No. 10/649,510 filed August 26, 2003. (Attorney Docket No. 030366)	
		United States Patent Application No. 10/446,569 filed May 28, 2003. (Attorney Docket No. 020328)	
		United States Patent Application No. 60/384,043 filed May 28, 2002. (Attorney Docket No. 020328P)	
		United States Patent Application No. 60/273,088 filed March 2, 2001. (Attorney Docket No. 010222P)	
		United States Patent Application No. 10/087,733 filed March 4, 2002. (Attorney Docket No. 010222)	
		United States Patent Application No. 10/293,247 filed November 12, 2002. (Attorney Docket No. 010222CON)	

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